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EPW

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THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: DASSEUX *et al.*

Confirmation No.: To be Assigned

Application No.: 10/802,080

Group Art Unit: To be Assigned

Filed: March 15, 2004

Examiner: To be Assigned

For: Multimeric APO A-1 Agonist
Compounds

Attorney Docket No.: 9196-031-999

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure provisions of 37 C.F.R. §1.56, there is hereby provided certain information which the Examiner may consider material to the examination of the subject U.S. patent application. It is requested that the Examiner make this information of record if it is deemed material to the examination of the application. This paper is being filed pursuant to C.F.R. § 1.34.

1. Enclosures accompanying this Information Disclosure Statement are:
 - 1a. ☒ A list of all patents, publications, applications, or other information submitted for consideration by the office.
 - 1b. A legible copy of:
 - ☒ Each U.S. patent application publication and U.S. and foreign patent;
 - ☒ Each publication or that portion which caused it to be listed on the PTO-1449;
 - ☐ For each cited pending U.S. application, the application specification including the claims, and any drawing of the application, or portion of the application which caused it to be listed on the PTO-1449 including any claims directed to that portion;
 - ☐ all other information or portion which caused it to be listed on the PTO-1449.
 - 1c. ☐ An English language copy of search report(s) from a counterpart foreign application or PCT International Search Report.
 - 1d. ☐ Explanations of relevancy (ATTACHMENT 1(d), hereto) or English language abstracts of the non-English language publications.
2. ☒ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(b):
 - ☒ Within three months of the filing date of a national application other than a continued prosecution application under §1.53(d);
 - ☐ Within three months of the date of entry of the national stage as set forth in §1.491' in an international application;

- ☐ Before the mailing of the first Office action on the merits;
- ☐ Before the mailing of a first Office action after the filing of a request for continued examination under §1.114.
3. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(c) after the period specified in 37 C.F.R. §1.97(b), but before the mailing date of any of a final action under 37 C.F.R. §1.113, a notice of allowance under 37 C.F.R. §1.311 or an action that otherwise closes prosecution in the application.

(Check either Item 3a or 3b)

- 3a. ☐ The Certification Statement in Item 5 below is applicable. Accordingly, no fee is required.
- 3b. ☐ The \$180.00 fee set forth in 37 C.F.R. §1.17(p) in accordance with 37 C.F.R. §1.97(c) is:
- ☐ enclosed
- ☐ to be charged to Jones Day Deposit Account No. 503013.

(Item 3b to be checked if any reference known for more than 3 months)

4. ☐ This Information Disclosure Statement is filed under 37 C.F.R. §1.97(d) after the period specified in 37 C.F.R. §1.97(c), but on or before the date of payment of the issue fee.

The \$180.00 fee set forth in 37 C.F.R. §1.17(p) is:

- ☐ enclosed.
- ☐ to be charged to Jones Day Deposit Account No. 503013.

The Certification Statement in Item 5 below is applicable.

5. ☐ Certification Statement (applicable if Item 3a or Item 4 is checked)

(Check either Item 5a or 5b)

- 5a. ☐ In accordance with 37 C.F.R. §1.97(e)(1), it is certified that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement.
- 5b. ☐ Each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not **received** by any individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- 5c. ☐ Pursuant to 37 C.F.R. §1.704(d), each item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart application, and the communication was not **received** by any individual designated in 37 C.F.R. §1.56(c) more than thirty days prior to the filing of this information disclosure statement.
6. ☒ This application is a continuation application under 37 C.F.R. §1.60 or §1.53(b) or (d).

(Check appropriate Items 6a, 6b and/or 6c)

- 6a. ☐ A Petition to Withdraw from issue under 37 C.F.R. §1.313(b)(5) is concurrently filed herewith.
- 6b. ☒ Copies of publications A01-A09, A11-A12, A14-A41 and A43-A135 listed on Form PTO-1449 from prior application Serial Nos. 08/940,095 (now U.S. Patent 6,004,925) and 09/453,840 (now U.S. Patent 6,716,816), filed on September 29, 1997 and December 1, 1999, respectively, of which this application claims priority under 35 U.S.C. §120, are not being submitted pursuant to 37 C.F.R. §1.98(d).
- 6c. ☒ Copies of the publications listed on Form PTO-1449 as A10, A13 and A42 were not previously cited in prior application, respectively, and are provided herewith.
7. ☐ This is a Supplemental Information Disclosure Statement. (Check Item 7a)
- 7a. ☐ This Supplemental Information Disclosure Statement under 37 C.F.R. §1.97(f) supplements the Information Disclosure Statement filed on . A bona fide attempt was made to comply with 37 C.F.R. §1.98, but inadvertent omissions were made. These omissions have been corrected herein. Accordingly, additional time is requested so that this Supplemental Information Disclosure Statement can be considered as if properly filed on .
8. ☐ In accordance with 37 C.F.R. §1.98, a concise explanation of what is presently understood to be the relevance of each non-English language publication is:
- (Check Item 8a, 8b, or 8c)
- 8a. ☐ satisfied because all non-English language publications were cited on the enclosed English language copy of the PCT International Search Report or the search report from a counterpart foreign application indicating the degree of relevance found by the foreign office.
- 8b. ☐ set forth in the application.
- 8c. ☐ enclosed as an attachment hereto.
9. ☒ The Commissioner is authorized to charge any additional fee required or credit any overpayment for this Information Disclosure Statement and/or Petition to Jones Day Deposit Account No. 503013.
10. ☒ No admission is made that the information cited in this Statement is, or is considered to be, material to patentability nor a representation that a search has been made (other than a search report of a foreign counterpart application or PCT International Search Report if submitted herewith). 37 C.F.R. §§1.97(g) and (h).

Respectfully submitted,

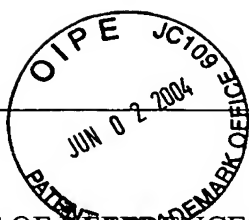
Date:

06/02/04


Irina E. Britva, Patent Agent
for Anthony M. Insogna

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35,203

JONES DAY
222 East 41st Street
New York, New York 10017
(212) 326-3939



LIST OF REFERENCES CITED BY APPLICANT

(Use several sheets if necessary)

ATTY DOCKET NO.

APPLICATION NO

9196-031-999

10/802,080

APPLICANT

Dasseux *et al.*

FILING DATE

GROUP

March 15, 2004

To be Assigned

U.S. PATENT DOCUMENTS

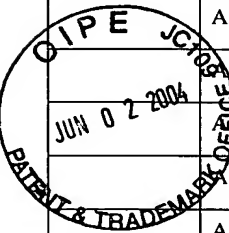
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	A01	4,229,360	10/21/80	Schneider <i>et al.</i>			
	A02	4,411,894	10/25/83	Schrank <i>et al.</i>			
	A03	4,643,998	02/17/87	Segrest <i>et al.</i>			
	A04	4,857,319	08/15/89	Crowe <i>et al.</i>			
	A05	4,880,635	11/14/89	Janoff <i>et al.</i>			
	A06	6,004,925	9/29/97	Dasseux <i>et al.</i>			
	A07	6,037,323	9/29/97	Dasseux <i>et al.</i>			
	A08	6,265,377	12/17/99	Dasseux <i>et al.</i>			
	A09	6,602,854	8/5/03	Dasseux <i>et al.</i>			
	A10	6,716,816	4/6/04	Dasseux <i>et al.</i>			
	A11	6,734,169	5/25/01	Dasseux <i>et al.</i>			

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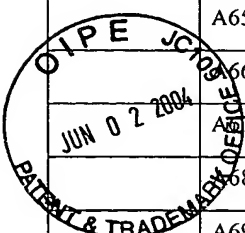
		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	A12	WO93/25581	12/23/93	PCT				
	A13	WO94/04177	3/3/94	PCT				
	A14	WO94/13819	6/23/94	PCT				
	A15	WO96/04916	2/22/96	PCT				
	A16	WO96/05227	2/22/96	PCT				
	A17	WO96/37608	11/28/96	PCT				
	A18	WO 97/36927	10/9/97	PCT				
	A19	WO 97/43311	11/20/97	PCT				
	A20	WO99/16459	9/28/98	PCT				
	A21	EP 0 162 414	5/15/85	EPO				

OTHER REFERENCES (Including Author, Title, Date, Pertinent Pages, Etc.)

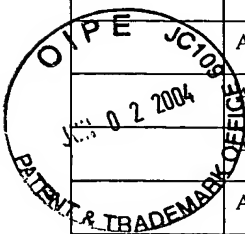
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EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with **MPEP 609**; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

